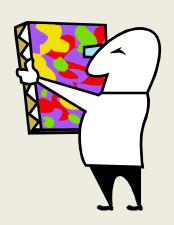
Essential Records 101 AND ER Listing Process











Karen Gray, Archives and Records Management Branch

Jerry Lucente-Kirkpatrick, Archives and Records Management Branch

Melanie Sturgeon, Director, Archives and Records Management Branch

Why Do We Need This Training?







GENERAL GUIDANCE FOR ON-LINE SESSIONS

- 1. Please remember that while you are in the on-line classroom, all other participants can hear everything you say (even in the background), and can see everything you write on the whiteboard.
- 2. I will be muting All participants to help with sound distortion.
- 3. Please make sure that all phones are muted during the sessions. Press *6 and your phone will be muted.
- 4. Feel free to submit notes during session for discussion. If you would like to send a note / comment, please send to "all" so that everyone can see the question and then hear the answer to that question.
- 5. Please raise your hand if you wish to speak
- 6. Take a vote: How many of you are participating in today's session with a group of co-workers?
- 7. If so, how many of you are there in your group? (Send # as a note)
- 8. At the end of the training, I will be taking questions. Write down any questions you have during the session, and we will have an opportunity to ask them at the end.



A project of the

Council of State Archivists

to provide records-related emergency

training for state and local governments

IPER supports a fundamental component of Continuity of Operations (COOP):



Ensuring that state and local governments can access and use records needed to restore essential services

"Records" — As Defined By Statute

§41-151.18. <u>Definition of records</u>

"In this article, unless the context otherwise requires, "records" means all books, papers, maps, photographs or other documentary materials,

regardless of physical form or characteristics, including prints or copies of such items produced or reproduced on film or electronic media pursuant to section 41-151.16,

made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor

as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained in the record,

and includes records that are made confidential by statute."

Not Public Records

A.R.S. §41-151.18

- 1. "<u>Library or museum material</u> made or acquired solely for reference or exhibition purposes,"
- 2. "Extra copies of documents preserved only for convenience of reference"
- 3. And "stocks of publications or documents intended for sale or distribution to interested persons"
- ..."are not included within the definition of records as used in this article."



ARS §41-151.14:

5.A. The head of each state and local agency shall:
Once every five years submit to the director lists of all essential public records in the custody of the agency.

Basics of this statute are from the 1970s
"Once every five years" added in 2011/12 Legislative Session

Why Prepare for the Worst?

Records custodians must be prepared to protect their essential records so that:

- in the event of an emergency,
- their offices can recover quickly
- and return to service for the residents of their state or locality.

At the Completion of This Session You Will be Able to:

- 1. Distinguish between nonessential and essential records
- 2. Identify the <u>five types</u> of essential records
- 3. Explain the <u>four sources of information</u> you need to know to identify your essential records
- 4. <u>Identify stakeholders</u> who are resources for identifying essential records
- 5. Determine an agency's or public body's <u>essential business</u> functions in order to identify essential records
- 6. Know how to <u>use Retention Schedules to start preparing your</u> <u>"lists of all essential public records".</u>

Essential Records: How Do I Identify Them?



Is this you? Essential Records may seem like this now, BUT....

ARS §41-151.12 - Essential Records Defined

Two Categories of Essential Records:

- "4. Establish criteria for designation of <u>essential records</u> within the following general categories:
 - (a) Records containing information necessary to the operations of government in the emergency created by a disaster.
 - (b) Records containing information necessary to protect the rights and interests of persons or to establish and affirm the powers and duties of governments in the resumption of operations after a disaster."

Five Types of Essential Records

Records are considered essential when they:

- 1. Are necessary for **emergency response**
- 2. Are necessary to resume or continue operations
- 3. Protect the health, safety, property, and rights of residents
- 4. Would require massive resources to reconstruct
- 5. Document the history of communities and families

More About Essential Records

- Essential records require special protection strategies to ensure they are protected and accessible.
- Essential records can be found in any format and in any medium.

Legal & Fiscal Essential Records

The five types of Essential Records include those that... document **legal & fiscal requirements**

- Records to operate the office
- Contracts
- Who owes you money
- Who do you owe money to
- Case Files
- Payroll



Administrative Structure Essential Records

The five types of Essential Records include records that... **preserve the administrative structure** of your institution:

- Policies
- Authorities
- Directives
- Meeting minutes



Preserve Rights and Entitlements of Citizens

- Birth, Death, and Marriage
- Water Rights
- Land (Deeds and Mortgages)
- Right of Way
- Brands



Four Sources of Essential Records Information

- Essential records differ by agency.
- Each agency must determine which of its records are essential.
- What you need to know to <u>identify essential</u> records (four sources of information):
 - 1. Your agency's essential functions
 - 2. The stakeholders
 - 3. Your agency's records
 - 4. Relevant statutes, regulations, and standards

Four Sources:

1. Know Your State or Local Agency's Essential Functions

The first source of information to help identify your Essential Records:

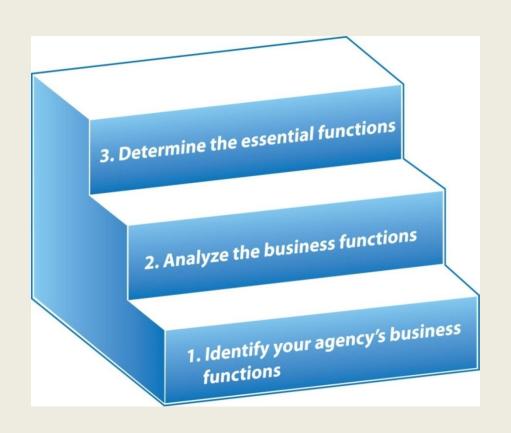
 Identification of essential records starts with understanding essential functions.



How to Determine Essential Functions?

- During an emergency, essential functions:
 - 1. Provide vital services
 - 2. Exercise civil authority
 - 3. Maintain the safety and well-being of the general population
 - 4. Sustain the jurisdiction's industrial economic base
- Essential functions must continue under all circumstances.

3 Steps to Determine Essential Functions



Steps to determine essential functions:

Identify

Analyze

Determine

Essential Business Functions: Step 1 and 2 - I dentify and Analyze

Steps 1 and 2: Identify and Analyze Your State or Local Agency's Business Functions

- •Answer the following:
 - What business functions are performed by your agency?
 - What are the statutory or legal requirements?
 - What are the program responsibilities?
 - What functions not normally performed by your agency might be required in an emergency?

Essential Business Functions: Step 3 - Determine

Step 3: Determine the Essential Business Functions

- 1. Is there anything that your agency or division does that is critical?
- 2. Which of these critical functions are performed only by your own agency or division?
- 3. Is there an alternative method of carrying out those functions during the emergency and recovery periods?
- 4. After eliminating the business functions for which there are <u>alternative methods of support</u>, what functions are <u>left?</u>

These are your essential business functions.

Four Sources:

2. Know the Stakeholders

This is the second source of information used in identifying your Essential Records

- •Who depends on you? Who do you depend on?
 - Individuals
 - Other agencies
 - Outside organizations
- •Who provides mission-critical support?
 - Information technology
 - Human resources
 - Legal and accounting
 - Emergency management, COOP



2. Know the Stakeholders: Interview Stakeholders

- Interview key stakeholders and staff to get information about essential functions.
- Ask specific and pointed questions:
 - No: "How long could you operate without that series of records?"
 - Yes: "What if you didn't have access to that series of records for 24 hours?"
 - 48 hours?
 - 72 hours?
 - One two weeks or longer?

How long do you think government bodies were operating in "disaster mode" before life returned to normal?

Four Sources:

3. Know Your Agency's Records

The third source of information to help identify Essential Records – "Know Thyself and thy Records!"

- •Importance of a good records management program
- Records retention schedules
- •Where are your records?
- •Have you inventoried your records?



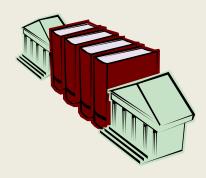
Four Sources:

4. Know Your Agency's Relevant Statutes, Regulations, and Standards

This is the **fourth source** of information:

- •What do statutes say your agency is supposed to do?
- •What regulations are you required to follow?
- •What are the **standards** you are required to follow?





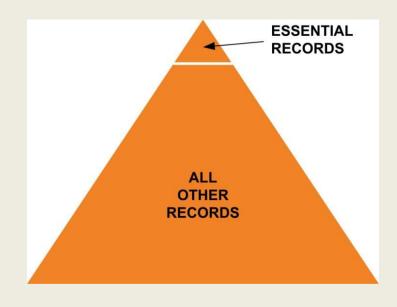
Government Essential Records

- What records are essential to your agency?
- What records are essential to the public?



Differentiate Essential Records from Other Records

- Only a small percentage of records are essential
- Its critical value during and/or after an emergency makes a record essential.
- As the actual disruption time increases, more records become essential.



Characteristics of Essential Records

Dynamic Essential Records

- Contain changing information
- Require information to be kept up-to-date

Static Essential Records

- Contain information that does not change
- Does not require updates

Formats and Locations of Your Essential Records

Locate records – exactly where are they?



- What is in paper format?
 - What is in electronic format?
 - How current?
 - How long will data / records stored on CD's last?
 - Where are your permanent records?
 - Where are your silver negatives of microfilm?
 - Where are your backup tapes?





Color Code Your Essential Records

- Label essential and permanent records
- Label or color code boxes, file cabinets and tapes.



Creating "Lists of essential public records"

Now that you know which types of records can be considered essential,

how do you begin creating your "lists" of essential records?

Start with "lists" that already exist

Retention Schedules as Resources

- Retention Schedules are "lists" of records that are being created or received by public bodies.
- Some of the records series listed on Retention Schedules will be essential records.
- A great place to start when thinking about your essential records is by reviewing all the General and Custom Schedules that apply to your public body.
- During review, decide which records series on these Schedules are essential for you and circle the records series number.

ASLAPR's Lists of Essential Records

- Records Management and the State Archives have already worked together with all of you on this issue – Phase II Training Sessions
- During these sessions, we reviewed all General Retention Schedules and decided with you which records series are usually considered as essential records for many public bodies.
- We will begin the process on noting these records as essential on the new General Schedules.

Voting Talley - Administrative Records

		Schedule		Item	Item	Item				
2	2	Number	Title	#	alpha	numeric	Record Series Title	Yes	No]]
							Accident and Fire Prevention Program Records			Τ
3	3	000-12-15	Administrative Records	1			(including lists of first aid trained personnel)	31	35	
							Administrative Directives (Fire			
4	1	000-12-15	Administrative Records	2			Districts only)	16	15	
5	5	000-12-15	Administrative Records	3			Advertisements	0	64	
6	5	000-12-15	Administrative Records	4			Appointment Calendars	9	63	
							Assurance Statements (statement from Public			
							Body concerning retention and maintenance of			
							permanent electronic records; office copy, official			5
							copy at Arizona State Library, Archives and Public			1
							Records (ASLAPR) /History and Archives			4
7	7	000-12-15	Administrative Records	5			Division)	N/A	N/A]
4	8	000-12-15	Administrative Records	6			Certificates of Compliance (certificate from microfilm vendors verifying microfilm meets Arizona State Library, Archives and Public Records (ASLAPR) standards; office copy, official copy at ASLAPR/ History and Archives Division)	N/A	N/A	1 (
_	-	000-12-13	Administrative Records	•			Citizenship Verification Records (When applying	IVIA	IVA	ť
							for public benefit in response to ARS §1-501, §1-			
	,	000-12-15	Administrative Records	7			502 and similar)	44	14	
_	-	000-12-15		7	a.		Filed with application paperwork	44	14	†
_			Administrative Records	7	b.		Filed separately from application paperwork	44	14	†
			Administrative Records	7	b.	i.	application approved	44	14	\dagger
_		000-12-15		7	b.	ii.	application denied	44	14	†

Voting Talley - Management Records

Schedule # Schedule Na		# Schedule Name	ame Item#			Record Series Name		/ No	
	Α	В	С	D	Ε	F	G	Н	
						Minutes (including agendas (if agenda or index is			
						not part of the minutes) and supporting			
						documentation referenced in minutes and needed to			
49	000-12-16	Management Records	13			clarify the minutes)	38	23	
50	000-12-16	Management Records	13	a.		Governing Boards, Commissions and Councils	38	23	
						Other Decision-making Committees, Boards or			
751	000-12-16	Management Records	13	b.		Commissions	38	23	
						Advisory Committees, Boards, Commissions, Task			
752	000-12-16	Management Records	13	c.		Forces, Ad Hoc Committees, etc.	38	23	
						Executive Session, Work Study and Study Session			
753	000-12-16	Management Records	13	d.		Records	38	23	
754	000-12-16	Management Records	13	e.		Audio or Video Recordings of Meetings	38	23	
						Staff meetings (routine staff meetings where policy			
755	000-12-16	Management Records	13	f.		is not set)	38	23	
756	000-12-16	Management Records	14			Notices of Public Posting Locations	4	58	
757	000-12-16	Management Records	15			#######################################	10	54	
						Policy and Procedure Records (official agency			
						policy and procedure records but not internal office			
758	000-12-16	Management Records	16			procedures)	42	12	
759	000-12-16	Management Records	17			Project Records	9	47	
760	000-12-16	Management Records	17	a.		Historically Significant Projects	9	47	
761	000-12-16	Management Records	17	b .		All Other Records	9	47	
						Public Body Policies, Directives, General Orders,			
						Board Orders, Mission Statements, and			
						Administrative Orders (does not include office			
762	000-12-16	Management Records	18			internal administrative procedure records)	39	14	

Voting Talley - Facilities Records

Sc	hedule#	Schedule Name It	e m #			Record Series Name	Yes/	No
	Α	В	C	υ	E	F	G	Н
249	000-12-24	Equipment/Vehicle Services Records	21			Warranty Records	12	8
						Alarm Code and Key Control 1 Records (records		
250	000-11-8	Facilities/Grounds Management Records	1			tracking employee access in buildings)	16	2
						Architect/Consultant Records Not 3 Used		
251	000-11-8	Facilities/Grounds Management Records	2			(including Requests for Proposals)	0	20
						As-built Plans, Drawings, - Blueprints, Floor		
						Plans, Layouts, Specifications and Americans with		
252	000-11-8	Facilities/Grounds Management Records	3			Disabilities Act (ADA) Compliance Records	14	1
253	000-11-8	Facilities/Grounds Management Records	4			Building Inventory Records	11	6
		_				Certificates of Inspection 1 (including Fire		
254	000-11-8	Facilities/Grounds Management Records	5			Marshal inspections)	10	5
		_				Construction Records (including inspection reports,		
						progress reports, meeting minutes, construction		
						contracts, site surveys, warranties/ guarantees and		
						other related records for construction and major		
255	000-11-8	Facilities/Grounds Management Records	6			renovation projects)	13	1
256	000-11-8	Facilities/Grounds Management Records		a.		Completed projects	13	1
257	000-11-8	Facilities/Grounds Management Records		b.		Proposed but not completed	13	1
						Custodial/Landscape Services Records (including		
258	000-11-8	Facilities/Grounds Management Records	7			service schedules and other related records)	0	17
259	000-11-8	Facilities/Grounds Management Records				Deeds/Titles to Buildings and Property	17	1
260	000-11-8	Facilities/Grounds Management Records	_			Environmental Records		
						Asbestos Inspection and Abatement Records and		
						Management Plans (including Hazard Emergency		
261	000-11-8	Facilities/Grounds Management Records	9	a.		Response Act (AHERA) records)	17	1
						Lead Paint and Underground Storage Tank		
262	000-11-8	Facilities/Grounds Management Records	9	ъ.		Records	18	1

Where To Find The Voting Talley?

Home > Branches > Archives and Records Management >

Conservation, Disaster Preparedness and Emergency Recovery

Conservation

The Conservation Officer at the Arizona Archives and Records Management Division provides a variety of services to Arizona's citizens, libraries, and agencies as well as national organizations. In most cases, these services are free, courtesy of the Arizona State Library, Archives and Public Records.

The Conservator provides:

- A variety of talks ranging from preserving family history collections to disaster planning for libraries and government agencies.
- · Consultations on conservation issues with individuals as well as institutions via telephone, email or on-site.
- Hands-on workshops on book repair for circulating collections, disaster prevention and response, papers
 conservation and other topics. A fee to cover the cost of supplies may be necessary for some workshops.

Essential Records

It is the responsibility of the head of each state and local agency to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. As part of that responsibility, the head of each state and local agency must submit lists of all essential records in the custody of the agency to the State Library every five years (ARS §41-151.14 a.5).

- · Establishing an Essential Records List
- Essential Records Listing form (8.5" x 11" Excel) (8.5" x 14" Excel)
- · Essential Records Voting Tally

Archives and Records Management

Research at the Archives

Records Center Services

Retention Schedules, Standards, Form Guidance

Accessing Arizona Public Records

Conservation, Disaster Preparedness a Emergency Recovery

Programs, Training, and Presentations

Archives and Records Management Po

Contact the State Archives and Record Management Center

We're here to help

Arizona State Archives 602-926-3720 Email

Records Management 602-926-3815

Essential Records Listing Process

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Agency Requirements ARS §41-151.14:

5.A. The head of each state and local agency shall:

Once every five years submit to the director lists of all essential public records in the custody of the agency.

Criteria for designation: Five Types of Essential Records

Records are considered essential when they:

- 1. Are necessary for **emergency response**
- 2. Are necessary to resume or continue operations
- 3. Protect the **health**, **safety**, **property**, **and rights** of residents
- 4. Would require **massive resources** to reconstruct
- 5. Document the history of communities and families

Identifying Essential Records: Additional Considerations

Try a Teamwork approach

Look at each stage of the record lifecycle

Priority for Access: When Will These Records Be Needed?

PRIORITY FOR ACCESS	ESSENTIAL RECORDS ARE RECORDS THAT:
Priority 1: First 1-12 hours	Needed in the first 12 hours AFTER an Emergency
Priority 2: 12-72 hours	Need after the initial 12 hours up until 3 days AFTER an Emergency
Priority 3: After 72 hours	Needed AFTER the first 3 days until the end of the emergency and / or the resumption of normal operations

Process for Completing and Submitting the Essential Records Listing Form

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Essential Records Listing Form: What Information is Required?

* REQUIRED	INFORMATION *
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Record Series Title/Records
Description

Schedule # or Date Item

E.D. Item # 1-5

Essential Records Listing Form: Why Are These Records Essential?

• E.D. = Essential Designation

ION *			ric Acc
Item #	E.D. 1-5	1-12	12-72

1	Are necessary for emergency response.
2	Necessary to resume or continue operations.
3	Protect the health, safety, property and rights of residents and the government.
4	Would require massive resources to reconstruct.
5	Document the history of communities or families.

Essential Records Listing Form: What Information is Optional

									* OPTIONAL I	NFOR	MATION *				
	Priori Acce n hou	SS		Me	edia		m	ocu- ent pe					В	acku	p Information
1-12	12-72	After 72	Paper	Electronic	Microfilm	Other	Original	Copy	Location	Quantity	Update Cycle	Salvage Instructions	On Site	OffSite	Location

Optional <u>does NOT mean</u> "unimportant" or "unnecessary". Records Managers will find this information VERY useful in the event of a disaster.

Use What You Haveth

"Oh, where forth, Oh where forth,

Do we findth our Agency's Essential Records????"

Start with the Essential Records Guidance

AND

 Continue with... "lists" that already exist – General and Custom Retention Schedules

AND

- Incorporate the Essential Records Voting Talley
- Review...all the General and Custom Schedules that apply to your public body
- Identify specific...records series on these Schedules that are essential for your public body
- Transfer that information to the Essential Records Listing Form

Guidance:

Establishing An Essential Records List



ARIZONA STATE LIBRARY, ARCHIVES AND PUBLIC RECORDS

A DIVISION OF THE ARIZONA SECRETARY OF STATE



Joan Clark, State Librarian & Director

ARCHIVES AND RECORDS MANAGEMENT

Establishing an Essential Records List

Criteria and Reporting Essential Records to the Arizona State Library,
Archives and Public Records

October, 2013

Combine Listing Form and Voting Talley

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		7			•
			Walk-around Inspection Records (checklists done		
000-12-24	Equipment/Vehicle Services Records	20	by drivers before driving publicly owned vehicle)	0	20
000-12-24	Equipment/Vehicle Services Records	21	Warranty Records	12	8
			Alarm Code and Key Control 1 Records (records		
000-11-8	Facilities/Grounds Management Records	1	tracking employee access in buildings)	16	2
			Architect/Consultant Records Not 3 Used		
000-11-8	Facilities/Grounds Management Records	2	(including Requests for Proposals)	0	20
			As-built Plans, Drawings, - Blueprints, Floor		
			Plans, Layouts, Specifications and Americans with		
000-11-8	Facilities/Grounds Management Records	3	Disabilities Act (ADA) Compliance Records	14	1
000-11-8	Facilities/Grounds Management Records	4	Building Inventory Records	11	6

When Is Your "List of All Essential Records" Due?

 Your submitted "List of Essential Records" needs to be received by the LAPR before close of business on 12/31/2014.

Essential Records Follow-up (Phase IV)

We would like to invite you to **Phase IV – Essential Records Follow-up**, a series of 60-minute webinars.

We will be repeating the session six (6) times, to allow for maximum participation.

This will be a great opportunity for a quick review of the Essential Records Project,

Time to compare notes with others on their progress with this project, Learn about any triumphs or challenges others are experiencing, and receive answers for any questions you might have on the completion and submission of the <u>Essential Records Listing Forms</u>.

If you would like to register for one of these six (6) sessions, please click on the following link:

http://apps.azlibrary.gov/eventreg/default.cfm?CustID=9

Essential Records Follow-up (Phase IV)

Here are the **scheduled** dates and times for our **Essential Records Follow-up Sessions**:

- Monday, September 15, from 10:00 11:00 am
- Tuesday, September 16, from 2:00 3:00 pm
- Wednesday, September 17, from 2:30 3:30 pm

•

- Tuesday, September 23, from 2:00 3:00 pm
- Wednesday, September 24, from 9:30 10:30 am
- Thursday, September 25, from 10:30 11:30 am

Here is an **Outline** for these <u>Essential Records Follow-up Sessions</u>:

Brief Review of the Essential Records Project (15-minutes)

Open Q & A (45-minutes)

Where are you at in your ER Listing process?

What successes, problems, and insights are you encountering in the process? How can we at the LAPR help you meet your goal of completing and submitting an Essential Records Listing Form?

Review Questions



Essential Records are defined as...

What are essential records?

ARS §41-151.12

- a....necessary to the operations of government in the emergency....
- b....necessary to protect the rights and interests of persons...
- or to establish and affirm the powers and duties of governments...."

Non-Essential Records - Importance

What is the importance of nonessential records?

They are still records and need to be retained and access provided according to ARS §39 and §41.151

Essential Records Types

Identify the <u>five types</u> of essential records

- Type # 1: "Are necessary...for emergency response
 - Type # 2: "Are necessary...to resume or continue operations
 - •Type # 3: "Protect the...health, safety, property, and rights of residents
 - •Type # 4: "Would require...massive resources to reconstruct
 - •Type # 5: "Document the...history of communities and families

Four Sources of ER Information

What are the <u>four sources of information</u> you will need to know to **identify your essential records?**

- Your State or Local Agency's <u>Essential Functions</u>
- Your Stakeholders:
 - Who do you rely on?
 - Who relies on you?
- Your Agency's Records
- Your Agency's Relevant Statutes, Regulations, and Standards

Four Sources:

2. Know the Stakeholders

This is the second source of information used in identifying your Essential Records

- •Who depends on you? Who do you depend on?
 - Individuals
 - Other agencies
 - Outside organizations
- •Who provides mission-critical support?
 - Information technology
 - Human resources
 - Legal and accounting
 - Emergency management, COOP



Three Steps To Identifying ER Records

Determine an agency's or public body's <u>essential</u> <u>business functions</u> in order to identify essential records

What are the three steps to determining essential functions?

- Step # 1: "Identify...Your Business Functions
- Step # 2: "Analyze...Your Business Functions
- Step # 3: "Determine...the Essential Business Functions

Still Want More Training on Essential Records and Disaster Planning?

Be careful what you ask for...

State Archives and RMD will begin re-offering the two-part IPER trainings, sometime in 2015:

Essential Records Workshop

The goal of the Essential Records seminar is to provide participants with the knowledge and skills needed to identify and secure their agencies' most essential records, respond appropriately when an emergency occurs, and ensure continued access to essential records for the duration of the emergency and beyond.

Records Emergency Planning and Response
The goal of this workshop is to provide participants with the knowledge and škills they need to protect, mitigate damage to, and recover records in the event of an emergency.

Got Essential Questions?



Any Questions?

HELPFUL CONTACTS

• Dr. Melanie Sturgeon: msturgeon@azlibrary.gov

Phone: 602-926-3720 / Toll Free: 1-800-228-4710 (Arizona only)

• Jerry Lucente-Kirkpatrick: jkirkpatrick@azlibrary.gov

Phone: 602-926-3820

• Karen Gray: kgray@azlibrary.gov

Phone: 602-926-3817

Department of Emergency and Military Affairs / **Emergency Management – Preparedness Division:**

> http://www.dem.azdema.gov/preparedness/index.html Phone: (602) 244-0504 / Toll Free: 1-800-411-ADEM (2336)

• Council of State Archivists (CoSA) / Emergency Preparedness: http://www.statearchivists.org/prepare/index.htm

Telephone: 518-473-9098

• Federal Emergency Management Agency:

http://www.fema.gov/plan-prepare-mitigate